



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/676,628 Confirmation No.: 7844
Applicant : Ying Wen Hsu
Filing Date : 09/30/2003
Title : LOW LOSS OPTICAL SWITCHING SYSTEM
Group Art Unit : 2882
Examiner : Unknown
Docket No. : 703427.4002
Customer No. : 34313

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

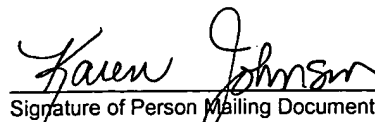
Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. None of the items listed on the attached forms PTO-1449 are attached. These items were all cited in the parent applications, Serial No. 10/052,829 and Serial No. 09/837,829 (U.S. Patent No. 6,647,170).

CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: February 3, 2004



Signature of Person Mailing Document

DOCSOC1:147044.1

Applicant : Ying Wen Hsu
Appl. No. : 10/676,628
Examiner : Unknown
Docket No. : 703427.4002

INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

■ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

■ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

Applicant : Ying Wen Hsu
Appl. No. : 10/676,628
Examiner : Unknown
Docket No. : 703427.4002

STATEMENT UNDER 37 CFR § 1.97(e):

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

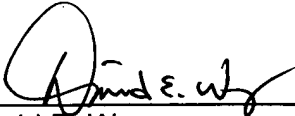
PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:

- ☐ A check in the amount of _____ is enclosed for the above fee(s).
- ☐ Please charge _____ to Deposit Account No. **15-0665** for the above fee(s).
- ☒ The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Orrick, Herrington & Sutcliffe's Deposit Account No. **15-0665**.

Respectfully submitted,

ORRICK, HERRINGTON & SUTCLIFFE LLP

Dated: February 2, 2004

By: 
David E. Wang
Reg. No. 38,358

ORRICK, HERRINGTON & SUTCLIFFE LLP
4 Park Plaza, Suite 1600
Irvine, CA 92614
949/567-6700 Telephone
949/567-6710 Facsimile

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOC
263/176

NO.

SERIAL NO.
09/837,829APPLICANT:
YING W. HSUFILING DATE:
April 17, 2001GROUP:
2633

IDS for 10/052,829

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
|---------------------|----|-----------------|---------|-----------------|-------|--------------|----------------|
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| JB | AB | 5,235,672 | 08/1993 | Carsin | 395 | 24 | |
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|---------------------|----|-----------------|---------|---------|-------|--------------|-----------------------|--|
| JB | AM | EP 1,004,910 A2 | 05/2000 | EP | G02B | 6/35 | X | |

OC96922.v1

EXAMINER:

Shelley Barker

DATE CONSIDERED:

27 June 2002

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609;
Draw line through citation if not in conformance and not considered. Include a copy of this form with next
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LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DO.

263/176

NO.

SERIAL NO.

09/837,829

APPLICANT:

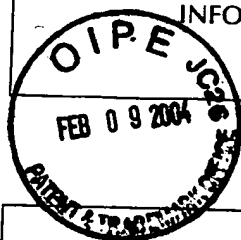
YING W. HSU

FILING DATE:

April 17, 2001

GROUP:

2633



OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. | Include name of the author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | 2 |
|--------------------|----------|--|---|
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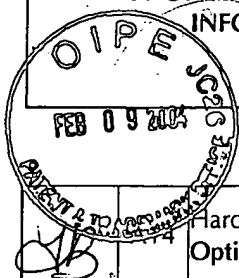
EXAMINER:

DATE CONSIDERED:

22 June 2002

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|---|--------------------------------|--------------------------|
| FORM PTO-1449 LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | ATTY. DOCI NO. 263/176 | SERIAL NO. 09/837,829 |
| | APPLICANT: YING W. HSU | |
| | FILING DATE: April 17, 2001 | GROUP: 2633 |



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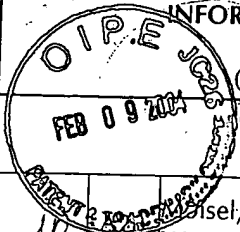
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| EXAMINER: <i>Sherry Barber</i> | DATE CONSIDERED: <i>27 June 2002</i> |
| EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant | |

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOC.
263/176

NO.

SERIAL NO.
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| SB | A36 | Yokoyama, S.; Nagata, T.; and Kuroda, Y.; et al.; "Optical Waveguides on Silicon Chips," <i>Journal of Vacuum Science & Technology A</i> , Vol. 13, No. 3, May-June 1995 | |

EXAMINER:

Sherry Barbe

DATE CONSIDERED:

22 June 2002

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant

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FORM PTO-1449

ATTY. DOCKET NO.

SERIAL NO.

703427.7

09/837,817

APPLICANT:

Ying W. Hsu

FILING DATE:

April 17, 2001

GROUP:

2874

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

| EXAMINER R INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
|-----------------------|----|-----------------|------------|---------------|-------|--------------|----------------|
| AB | AA | 5,278,692 | 01/11/1994 | Delapierre | 359 | 236 | 09/04/1992 |
| AB | AB | 5,357,590 | 10/18/1994 | Auracher | 385 | 33 | 04/07/1993 |
| AB | AC | 5,612,815 | 03/18/1997 | Labeye et al. | 359 | 320 | 01/11/1996 |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION | |
|---------------------|----|-----------------|------------|-----------------------|-------|--------------|-------------|----|
| | | | | | | | YES | NO |
| AB | AD | 58068702 | 04/23/1983 | Japan (Abstract only) | C02F | 1/00 | X | |
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| AB | AG | WO 01/77742 A2 | 10/18/2001 | WIPO | G02F | 1/00 | X | |

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EXAMINER:

Sung H. Pak

DATE CONSIDERED:

4 April 2003

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Information Disclosure Statement - Section 9 PTO-1449

Page 1 of 1

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PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 09/837817 |
| | | | | Filing Date | 04/17/2001 |
| | | | | First Named Inventor | Hsu |
| | | | | Group Art Unit | 2874 |
| Examiner Name | S. Pak | | | | |
| Sheet | 1 | of | 1 | Attorney Docket Number | 703427.7 |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|-----------------------|----------------------|---------------------------|--|--|
| Examiner Initials | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publications of Cited Documents MM-DD-YYYY |
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| | AA | 6,101,299 | | Laor | 8/8/2000 |

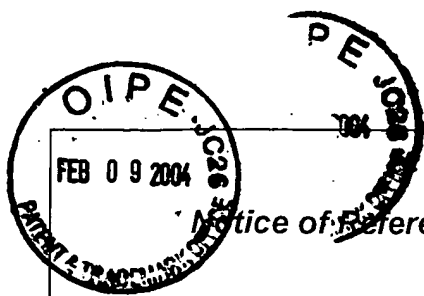
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent documents. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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FEB 09 2004

Notice of References Cited

Application/Control No.

10/052,829

Applicant(s)/Patent Under
Reexamination
HSU ET AL.

Examiner

Therese Barber

Art Unit

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Page 1 of 1

U.S. PATENT DOCUMENTS

| * | | Document Number Country Code-Number-Kind Code | Date MM-YYYY | Name | Classification |
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| * | A | US-6,388,789 B1 | 05-2002 | Bernstein | 359/198 |
| * | B | US-5,920,665 | 07-1999 | Presby | 385/16 |
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NON-PATENT DOCUMENTS

| * | | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
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*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
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